DOCUMENT RESUME

ED 053 735 LI 002 969

AUTHOR	Pratt, Carol S.
TITLE	[University of California Archives.]
PUB DATE	69
NOTE	30p.; (32 References); Papers prepared for the Institute in Archival Librarianship, University of Oregon, September 22, 1969 - August 14, 1970
EDRS PRICE	EDRS Price MF-$0.65 HC-$3.29
DESCRIPTORS	*Archives, Institutes (Training Programs), *Library Collections, *Library Education, Management, *Records (Forms), Seminars, *University Libraries
IDENTIFIERS	*Librarianship, University of California (Berkeley), University of Oregon

ABSTRACT

The historical development of the University of California Archives is traced. In 1929 the U.S. Bureau of the Budget foresaw the need to develop a method to rapidly separate valuable from routine documents and to establish guidelines for the evaluation of records. Records management -- a system to store, service, analyze, and weed documents -- has grown out of this need. The three-way character of records management is paraphrased as follows: (1) Engineers to control the paper; (2) Archivists to appraise, select records and to plan, equip and administer the records storage facility; and (3) historian to identify, organize, and interpret the records. (Other papers from this Institute are available as LI 002962-LI002968 and LI 002970 through LI 002976). (NH)

ED053735

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
OFFICE OF EDUCATION
THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL OFFICE OF EDUCATION POSITION OR POLICY

[UNIVERSITY OF CALIFORNIA ARCHIVES]

By

Carol S. Pratt

Papers Prepared for the Institute in Archival Librarianship,
University of Oregon, September 22, 1969 - August 14, 1970

LI 002 969

ACADEMIC ARCHIVES:
UNIVERSITY OF CALIFORNIA,
BERKELEY.

HISTORY
AND
RESOURCES.

Carol S. Pratt

28 October 1969

HISTORY AND RESOURCES OF
THE ARCHIVES OF THE UNIVERSITY OF CALIFORNIA,
BERKELEY.

The development of college and university archives is a comparatively new tendency in the history of American higher education. While generally regarded as the archives of the institution whose papers it preserves, materials relating to the histories of other universities will eventually be deposited there, primarily in the form of correspondance. There are, for example, materials on the University of California during the period from 1870-1880 in the archives of the University of Michigan within the papers of James B. Angell.[1]

A college or university archives is primarily a reference facility, patronized by the campus community, as well as alumni and researchers both academic and non-academic from outside the university complex. It is essential that the collection be carefully built and properly preserved and, of course, indexed. Holdings of school archives generally include official administrative records, quasi-official academic records, and unofficial faculty records. Non-current materials, current or new materials (e.g. reports, speeches) and ephemeral items have their place, too. The history of academic thought in America will be researched primarily through the source materials now being deposited in academic archives. Private papers and semi-official records will provide most of the richest materials. Since each major university archive will contain documents relating to other institutions, comprehensive research on any topic will require sources

from many collections. Some archives restrict access, but it would be well if scholars were allowed more or less free use of all collections. The facts in any controversy will come to light eventually. Most university archives are in fact open to scholars, generally, but a few are closed--about 17%,[3] and something like 50% are restricted to the scholars of the specific campus.[3] James R. K. Kantor, Archivist of the University of California at Berkeley, has suggested that archival materials and facilities be opened to all qualified researchers, although some files may have restrictions for legal or ethical reasons.[4]

A number of surveys have been conducted on the growth and nature of university archives. One of the earliest was made by Harvard University during the late 1920's in an attempt to locate a university archives in the United States which might provide a prototype. None of any consequence was located; most of the respondants described collections which were predominantly memorabilia. A survey conducted in 1949[5] by the Society of American Archivists, Committee on College and University Archives, revealed that archival programs were becoming rather more common. Of 150 institutions queried, 115 replied and provided the following figures:

56 had archives. (49% of those responding)
15 preserved most official records, but had no unified archival program. (13%)
11 kept some records (trustee and faculty minutes, and publications) (10%)
7 were then studying the problem with the intent of establishing archives. (6%)
14 had scattered records and were interested in establishing archives. (12%)
12 had no interest in archives. (10%)

Thirteen years later in 1962, James V. Mink of UCLA directed another survey for the Society of American Archivists to measure progress.[6] The following statistics were provided by 288 replies to 300 questionaires:

133 institutions had archival programs with a full or part-time archivist. (39% of those responding)
70 institutions designated the library as depository for archival materials, although they had no systematic program to ensure the collection and preservation of records having historic value. (25%)
54 institutions had no archival program other than to delegate responsibility for preservation to the individual agencies. (19%)
31 institutions had no archival program whatever. (11%)

Again, in 1966, a survey of 1156 college and university archives in the United States and Canada revealed that about 48% of the American and 59% of the Canadian institutions had archives.[7] About 80% of these archives were located in the library system.

University archives, then, are generally placed in the library, and there are some good reasons for this. The library has the facilities to preserve, process, and administer special materials. However, Oliver W. Holmes has suggested that archives are both cultural and administrative bodies[8], supported by patrons and by those agencies whose records it preserves. In order to exploit this second feature some archives are located in the administrative offices of the campus, being thereby closely allied with the administrative hierarchy and wielding greater authority in the collection of desirable materials. J.R.K. Kantor, of Berkeley, has suggested in an unpublished article that perhaps the ideal solution is some combination of the two, making the Archivist a campus-wide officer attached to

the library.[9]

More than one-half of those archives surveyed in 1962 by James Mink collected manuscripts (viz. personal papers of prominant persons). This same survey indicated that there is considerable confusion regarding the nature of archives, their scope, as well as the functions of the archivist. In many archives librarians without archival training were acting as archivists, with occasionally serious consequences. Library training is highly desirable, but also essential are experience in the use of primary source materials, background in literary bibliography or in historiography, training in manuscript processing, and some archival training. The archivist is above all a gatherer, a collector. He solicits materials, both official and unofficial. If a records management program is established, there is less a problem with official materials; but the miscellanea and ephemera reflecting student and faculty life and the role of the college in its region are all important to the institution's history and must be collected independantly. It is also essential that archivists maintain contact with colleagues at other universities, for this provides the necessary perspective as well as immediate assistance with problems.

The University of California Archives are relatively old, as university archives go, dating back to 1875. In 1874 Joseph Cummings Rowell, secretary of University president Gilman, was given the records for the College of California, 1853-1868, and was instructed to gather and bind all such materials of document nature. The early records comprise two volumes and may be

considered the beginning and nucleus of the archives of the University of California. In 1875 Rowell was appointed University Librarian; he was 22 years old. Until his retirement in 1918, he apparehtly took as part of his responsibility the preservation of archival material of the college, for which he solicited the cooperation of library staff, faculty, printer, as well as the widows of former professors. He fostered the collection of University of California publications, manuscripts, and official records. Following his retirement in 1918, he was active as University Archivist on a part-time schedule until 1938, when failing health forced his complete retirement.

In 1935 Rowell spoke to the Library Staff Association about the University Archives. He defined the nature of the archives:

> "A collection of papers and documents, descriptive and historical, pertaining to the University and all of its component parts."[10]

Mr. Rowell then expanded his topic by explaining that he was interested in any materials or information relating to progress and development: courses, research, personnel, students, student activities, as well as comment from outside of the university. He outlined a detailed list of materials sought by the archives, which is worth recording here:[11]

1. General and unclassified documents, e.g. the Bulletin of the University Library, University Chronicle, Annual Register, etc.

2. Administrative reports, e.g. reports of the Board, Presidents, Comptroller.

3. General description of the campus and of individual buildings. Includes many maps and photographs.

4. History and critical comment, including reports of legislative investigations. Distinct events, such as the "Great War" are segregated. Includes events,

special days, programs of various activities.

5. Instruction, academic senate, registrar's publications, exams, degrees.

6. Everything relating to colleges, schools, and single courses in Berkeley.

7. Extra-academic and professional institutions located around the state.

8. Official university publications, arranged by subject.

9. Student life, customs, activities, societies, periodicals, farces, extravaganzas.

10. Theses and dissertations.

11. Alumni, class records, alumni association, and photos of graduates.

12. Organizations not officially connected with the University, but associated with it, e.g. YMCA.

13. Published writings by university instructors and officers.

14. All material relating to the College of California.

15. Biography of officers and students, and of personnel of persons connected with the institution.

Faculty writings (mostly articles printed in journals or transactions) have a long history in the University of California Archives. In the beginning they were individually requested. By 1935 the University President made an annual request to all faculty to supply copies of their publications to the University Archivist. These were kept in envelopes or pamphlet boxes, arranged alphabetically by author. When a sufficient number had accumulated, they were bound. The collection has continued to the present, as far as I could determine.

The archives did not circulate and could be used only under supervision of the archivist or of a reference assistant. Rowell foresaw a constantly increasing accumulation of archives, and

he knew the importance of dating each document, if only approximately.

One of the theses included in the archives of the University of California is that of May Dornin, M.A. 1922. She joined the staff of the library in 1926, and she worked part-time with Mr. Rowell until his death in 1938. I could not determine what happened to the archives between 1938 and Miss Dornin's appointment as Head of the Department of Rare Books and Archives in 1946. I suspect that Miss Dornin served as unofficial custodian during the war years, since she was familiar with and interested in the collection. She was appointed University Archivist in 1948 and remained in that capacity until her retirement in 1964.

In 1945 Fulmer Mood proposed to conduct a survey of the accumulated records and archives of the university administration of all eight campuses.[12] The administration accepted his proposal, and on October 15, 1947 the survey was begun. Records were found nearly everywhere but in archives. By the time that seven of the campuses had been surveyed and only Berkeley remained, the work was apparently stopped, under the assumption that most of Berkeley's early records were also stored in closets and boxes. It is unfortunate that the records were not actually surveyed, for we might now know what percentage were in fact in the library under the care of Miss Dornin.

Following the survey, however, the University appointed a records management officer to extablish long term plans for all campuses. Each of the institutions now has an archives established within the library of its respective campus, under the

direction of the University Librarian and administered by a library staff member appointed to the post.

In the 1950's the archives reported an increase in use (1951/52), and at this time or soon after the library was moved to University Hall. A decision to transfer some early records to the archives was implemented, probably because space was then available. In 1964 this transfer was still going on, and the records of the Sproul administration (1930-53) were still being accessioned.

In 1962 the archives were placed within the Bancroft Library. Until that time they had apparently been a relativeley autonomous department directly under the University Librarian. I could not ascertain reasons for the change.

In 1964 Miss Dornin retired and James R.K. Kantor was appointed to the post, moving from the Bancroft Reference Department. His appointment is full-time. He is assisted by a full-time library assistant and by occasional student assistants. The archivist has two supervisors--the Bancroft Librarian and the University Librarian. There are indications that this tends to restrict the archivist's activity somewhat, although the Bancroft Library is relatively independant. There do not seem to have been serious problems recently.

The archivist still solicits much material, just as Mr. Rowell did more than 30 years ago. Most of the archival documents are in records groups, however, and come through the records management program established on each campus by President Clark Kerr in 1963.

In 1965 an important conference of University Archivists was held at Berkeley. It was attended by the archivists of their representatives of all nine campuses. An important report was made by the chairman of the University Records Management Committee (URMC), wherein was discussed the relationship of the URMC to the archives depositories. Mr. Kantor of Berkeley was particularly concerned at that time over the lack of definite authority vested in the archivist to prevent the destruction of important documents. The incident troubling him was the unfortunate disposal of important academic records dating from 1900, which he could not prevent, in spite of his membership on the URMC. The problem however, has been rectified, for now the archivist's signature is necessary on the disposal order. Mr. Kantor reports a very good relationship with the records management personnel.[13]

The statistical report of the University Archives for the year ending 30 June 1969 shows a broad variety of material kept within the archives' jurisdiction:[13]

12,111	bound volumes
2,921,600	manuscripts
88	maps
31	reels microcopy
10,833	photographs
2	musical recordings
229	speech recordings (tapes)
1	musical score
129	slides
350	non-book materials not included above; specifically paintings, busts, memorabilia, ephemera.

In 1966 a directory entitled College and University Archives in the United States and Canada, published by the Society of American Archivists--Committee on College and University Archives, listed the following figures for the collection at Berkeley:

2260 linear feet of manuscript records, including personal papers of faculty and staff.
7436 photographs.
1563 linear feet of bound printed materials, including faculty reprints.

The majority of the records in the archives consists of records groups. These are classified according to their agency within the university organization. For example, CU-1 files include Regent's records, CU-5 represents Presidents files, and so forth. Some significant files now in the Archives are the papers of Monroe E. Deutsch, late provost of the University, records of the Sproul Administration, extensive files from the Comptroller's Office , land records, and architects and engineers plans for the campus.

Until the 1950's the Archives consisted primarily of University of California publications and memorabilia, Significant documents and administrative reports were there, as is indicated by bibliographies and references found in early theses. These were classified under the Rowell classification scheme used in the main library. Some materials continue to be added under this system.

Gifts of personal papers occupy a significant place in the archives. Accessions include letters, diaries, papers of faculty members, some dealing with the academic activities of the University and some being records of research. The catalog of Printed Books of the Bancroft Library (G.K. Hall, 1964) apparently includes cards for archival materials, but no other separate lists for the archives are in the University or Oregon library.

Theses and dissertations are generally considered to be archival material in most universities, and the University of

California archivist is responsible for classifying and cataloguing those of Berkeley students. However, they are retained in the main stacks. I do not know if they are restricted in circulation or whether the first copy of a thesis or dissertation is shelved in some more protected place. UCLA has a different policy governing theses and dissertations. The first copy is kept in the archives; the second copy is allowed to circulate, and all such manuscript pieces have been microfilmed for safety. Berkeley apparently does not have such unambivalent policies.

Faculty reprints were collected at least until 1965, but I am not certain that these are actively sought now. There is a problem of storage. The reprint collection has served as a central source for all faculty reprints and has demonstrated interest in faculty activities--good public relations.

Joseph C. Rowell maintained a comprehensive collection of all University of California publications during his tenure. This policy became somewhat strenuous and rather difficult during the 1950's. The sheer bulk of material made its processing a problem, and of course, storage is always a consideration. Consequently, in 1964 the policy was modified to exclude scientific publications (which are included in the main library's collections) and to concentrate upon publications of the Berkeley Press with some acquisitions from other presses which pertain to activities of the Berkeley campus. The presence of active archives on all University of California campusses renders a blanket collection policy unnecessary. Materials not in the Berkeley archives can be located in one of the other libraries.

Until 1964 the public catalog of the archives was included with the catalog of the Bancroft Library. This apparently resulted in some difficulties, viz. location of materials and confusion over the policy of non-circulation. At the 1965 conference of University Archivists, Mr. Kantor expressed an interest in having a separate card catalog for the archives. In addition, plans for a long-term indexing project for the early records of the University was reported at this same conference. The new index was intended to supplement a card file covering 1905-1929, which dated from the custodianship of Mr. Rowell. A photoduplication service for the benefit of patrons is available in the archives.

The archival personnel provide reference and public service according to a 1965 report[14]. The staff has not changed in number since that date, and it is reasonable to conclude that no other arrangements for public service or for supervision of the use of documents have been made.

In 1963 University President Clark Kerr authorized the establishment of the University Records Managment Committee (URMC) and an active records management program was set up on each campus. Very little opposition was exhibited by the administrative agencies, and the inventory of these offices was completed first. Disposition schedules were established, and archival materials were routed to the library. However, the disposition of academic records has proceded much slower from the outset. There was some objection to the program, opposition arising from the tendency of faculty to consider their records as personal property. The URMC has moved slowly in this area, conducting inventories and disposing

of records only when asked to do so. There has been little pressure to submit to records management. On the whole the program has been very successful, and the relationship between campus agencies and URMC and between archivist and URMC has consistantly improved. An agency's access to non-current files was agreed to by the archivist, although space and time limit reference and retrieval services. Restrictions on the access of those files considered confidential was also agreed to. Permission from the depositing agency is necessary to use these, and this feature of the depository program has aided significantly in obtaining cooperation between agencies and archives.

The foregoing report is as comprehensive as it could be under the circumstances. There is very little up-to-date information about any of the University of California archives. Most of the sources are four or five years old, a serious disadvantage, considering the relative newness of the subject. University archives are just beyond their infancy, and I have little confidence that the picture of an archives in 1965 is representative of the archives in 1969. The University of California Archives are not usually mentioned in library reports or as part of the special collections of the Bancroft Library in the university catalog for 1969 or in the 10th edition of American Colleges and Universities. Nor is it acknowledged in articles describing the libraries. Annual reports of the Library Council include occasional mention of the archives of each campus, but coverage is not continuous and is spotty. The accession list "New in the Bancroft Library" does not distinguish archival accessions if it includes them at all.

The Bancroft Catalog of Printed Books probably includes the full holdings of the archives as of 1964, but there is no distinction in the classification scheme to indicate archival documents. The Oregon copy of the Rowell classification scheme (University Lib rary Bulletin no.12) is missing. It has been difficult to fill in holes and draw conclusions.

UNIVERSITY OF CALIFORNIA, BERKELEY.

REFERENCES.

1. Vesey, Laurence R., "A scholar's view of university archives", Stevens, Rolland E., University Archives (Illini, 1965), p.83.

2. Ibid., p.87.

3. Warner, Robert M., "The status of college and university archives", American Archivist , v.31, p.237 (July 1968).

4. Kantor, James R.K., "Suggestions for the establishment of a college or university archives," unpublished draft: 27 September 1969 (Society of American Archivists, Committee on College and University Archives)Ç p.2.

5. Mason, Philip P., "College and university archives: 1962", American Archivist, v.26, p.161 (April 1963).

6. Ibid., p.162.

7. Warner, p.236.

8. Holmes, Oliver W., "History and theory of archival practice," Stevens, Rolland E., University Archives (Illini, 1965), p.19.

9. Kantor, p.1.

10. Kurtz, Benjamin P., Joseph Cummings Rowell, 1853-1935. (Berkeley, n.d.) p.54.

11. Ibid.,

12. Mood, Fulmer and Carstensen, Vernon, "University records and their relation to general university administration," College and Research Libraries, v.11, p.341 (October 1950).

13. Kantor, James R.K., letter of 20 October 1969, (Berkeley, California).

14. First Statewide Conference of the University Archivists of the University of California, Proceedings (Summary),12-13 April, 1965, p.6.

UNIVERSITY OF CALIFORNIA, BERKELEY.

BIBLIOGRAPHY.

1. American Universities and Colleges. 10th Edition. Washington, American Council on Education, 1968, p.206-210.

2. California. University. Bancroft Library. Catalog of Printed Books, Boston, G.K. Hall, 1964.

3. California. University. Library Committee. Reports of the Library Committee and of the University Librarian to the Berkeley Division, Northern Section of the Academic Senate, University of California. Berkeley,

4. California. University, Library Council. Report of the Libraries, University of California, 1949/50-1953/54. Berkeley? 1954/55-1957/58. Berkeley?

*5. First Statewide Conference of the University Archivists of the University of California. Summary of Proceedings, 1965. (Unpublished).

6. Hamer, Philip M., ed. A guide to Archives and Manuscripts in the United States. New Haven, Yale University Press, 1961.

7. Jennings, John Melville, "Archival activity in American Universities and Colleges," American Archivist, v.12, p.155-163.

*8. Kantor, James R.K., "Suggestions for the establishment of a college or university archives", (Unpublished) Draft: 27 September 1969, 3p.

*9. Kurtz, Benjamin P., Joseph Cummings Rowell, 1853-1938. Berkeley, University of California Pregs, n.d.

*10. LeDuc, Thomas, "Arcana Siwash: The function and needs of a college archives," American Archivist, v.9, p.132-135, (April 1946).

*11. Mason, Philip P., "College and University Archives", American Archivist, v.26, p.161-163 (April 1963).

*12. Mood, Fulmer and Carstensen, Vernon, "University records and their relation to general university administration", College and Research Libraries, v.11, p.337-345 (Oct. 1950).

13. Smith, Dora, History of the University of California Library to 1900. (Unpublished thesis on microcard) 1928 (1930).

14. Society of American Archivists, College and University Archives Committee. College and University Archives in the United States and Canada. Ann Arbor, 1966.

*15. Stevens, Rolland E., University Archives; papers presented

at an institute, Nov. 1-4, 1964. Champaign, Distr. by the Illini Bookstore, Published by the Board of Trustees of the University of Illinois, 1965.

16. Warner, Robert M., "The status of college and university archives," American Archivist, v.31, p.235-237 (July 1968).

17. Wilson, Dwight, "Archives in colleges and universities; some comments on data collected by the Society's Committee on College and University Archives," American Archivist, v.13, p.343-350, Oct. 1950.

*18. Who's Who in Library Science, 3rd Edition. A biographical directory of professional librarians in the United States and Canada. N.Y., Grolier Society, 1955.

*19 Who's Who in Library Service, 4th Edition. A biographical directory of professional librarians in the United States and Canada. Hamden, Conn., Shoe String Press, 1966.

* Indicates items of particular value and utility.

THE RELATION OF
ARCHIVES
TO ACTIVE RECORD OFFICES,
UNIVERSITY OF CALIFORNIA,
BERKELEY.

Seminar: Archives.

Carol S. Pratt

The documentation of history requires that records be both carefully collected and preserved in order to prolong the memory of administrative processes--for which purpose records are created in the very first place, although from a different perspective. With this goal in mind documentation must reflect the life history of an agency, beginning as early as possible in that history. The relationship between archivist and the maker of archives is essentially based on the judicious selection of records. Before this basic relationship was explicitely defined, there was some interest in the techniques of records management. In 1929, for example, the U.S. Bureau of the Budget foresaw the need to develop a method to rapidly separate valuable from routine documents and to establish guidelines for the evaluation of records. Records management--a system to store, service, analyze, and weed documents--has grown out of this need.

In the early 1940's records management was the concern of the U.S. government, and it soon became an interest of various state governments. Following the Mood-Carstensen survey of 1947-48, a records management officer was appointed for the University of California.[1] I do not know who he was or what subordinates he had. His activities were apparently responsible for the rising interest in archives on the several campuses. Much archival material, specifically record groups, were accessioned at UCLA and at Berkeley. I found no mention anywhere of any reports or documents relating to this early management program, although there probably were some. The records management officer appointed in 1948 was charged with the responsibility to develop

long-term plans, but little was actually accomplished within the agencies themselves. In this same year May Dornin was recognized as the University Archivist at Berkeley, and Dr. Andrew H. Horn, then Head of Special Collections, was given the added responsibility for the neophyte archival program of UCLA.

On March 8, 1963, in response to administrative recommendations, University President Clark Kerr established the University Records Management Committee (URMC), placing it within the Office of the Vice President, Finance Division. It was to be composed of sixteen persons with the following representation: [2]

1 Records coordinator from each of the nine campuses
1 Records coordinator each from University Extension and from Agriculture
1 Records coodinator to represent all other statewide administrative offices
4 ex officio representing General Counsel, Internal Audit, Systems, and Procedures, and the Library Council.

The first meeting of the committee was on 2 April 1963. Of primary concern during the first year was the development of a records disposition manual, which included inventory procedures and instructions for the disposition of those records inventoried. Following the publication of this handbook, there were workshops to train personnel on each campus in the techniques of inventory and disposal. UCLA accomplished this purpose by providing Extension Classes in records management, sponsored by the Personnel Office of that eampus.

The inventory of basic fiscal and administrative records was undertaken first and it proceeded with good speed. By 30 June 1964, when the first report of the URMC was submitted to to the President, 70% of all fiscal and administrative departments

had completed the inventory of 203,000 linear feet of records. At that time 16% of inventoried records had been destroyed, in accordance with prepared disposal schedules.

It is worthwhile to note that there was rather little relationship between the URMC and the Archives at this time. There were not, in fact, Archives on each campus. Moreover, the URMC did not include any direct representative from any of the Archives. Dr. Andrew Horn, representing the Library Council, served in an advisory capacity only, as an ex officio member. I am doubtful that the archivists themselves participated in the records survey. By 1965 James Kantor, Berkeley Archivist, was a member of the Berkeley Records Managment Commitee, and he emphasized the practical value of it.[3] In addition, he recommended the archivists of each campus maintain personal contact with departments to ensure a voice in the disposal of their records. That the committee did not always assess records adequately is apparent, since at least one instance is recorded in which valuable academic records dating from 1900 were destroyed.[4] The incident, together with Mr. Kantor's obvious unhappiness over his lack of authority, points up the definite practical need for close communication between records managment programs and the archival function.

In 1964 the Library Council made recommendations to the URMC regarding the location and status of University Archives, specifically recommending the establishment of Archives in the Main Library of each campus, to be staffed by a librarian, and to be under the direction of the University Librarian. The Chancellors

of all nine campuses approved and the report was submitted to President Kerr. On 2 June 1964, the University Archives program for each campus was authorized by President Kerr. Although the archivists had little say in the programs of the URMC, there was obviously an increased awareness of the importance of the documents and their archival function. Someone had to administer them, and the URMC by its composition was not qualified to do so. Recognizing also the archival interest in management, the URMC chairman requested the nine campus archivists to develop definitions of historical materials and to recommend appraisal guidelines for the use of university departments.

The records program at the University of California resulted in some distinct trends on all campuses. First, there was little opposition from the agencies of fiscal and administrative function. These offices accepted records surveys with some enthusiasm, although the problem of access to confidential records had to be resolved on each campus. The acceptance of certain restrictions on the use of these documents with the Archives alleviated much of the concern. The question of reference service to the agencies for these archival documents was also resolved, although each of the Archives must place limitations on special service by reason of space and personnel. By 1965, when the program had been in effect for two years, there was still a lack of communication between campus archivist and campus offices. The peculiarly non-archival composition of the URMC may easily have contributed to this problem, just as any aloofness of the archivists themselves may also have been detrimental.

RECORDS MANAGEMENT AND ARCHIVES,

The inventory and control of academic records presented further difficulties to the URMC program. Academic records tend to be both official and quasi-official and are difficult to separate. In addition there is usually some faculty opposition to such a program, for many of these records are not regarded as University property. The URMC proceeded slowly, inventorying files only as they were invited to do so. The establishment of disposition schedules was also to be done at the request of the department, but in her report to the conference of University Archivists held at Berkeley in 1965, the URMC chairman reported that no schedules had in fact been established![5]

In 1963 the first of a series of handbooks was issued by the University Records Management Committee. Entitled Records Disposition, it presented the new program in an attractive and compact format, including inventory and appraisal procedures and examples of requests for the establishment of disposition schedules. A "checklist" of questions designed to indicate if there is an evident need for the management program is included at the end of the booklet. The historical value of documents is considered in the section on records appraisal. However, there is no mention of the place of the historian or the archivist--presumably appraisal was left to the judgment of the inventory personnel. Storage of vital records is made the responsibility of the department and reappraisal for these records is required every two years. The URMC expressed concern that the retention of archival material be periodically re-examined to establish the degree to which the material is being used in research. There is a hint of ambiguity here, for there is no

distinction made between materials being retained for their historical as opposed to their reference values. Veysey[6] observes that the material being placed in archives will perhaps lie unused for a hundred years. It is nevertheless important to preserve it, even though it may lie dormant for a long period.

The forms(RM-1) authorizing disposition and (RM-2) Request for Establishment of Disposition Schedule had no place for the signature of the archivist of the respective campus in 1963. The Records Coordinator or the Records Management Committee itself granted permission to destroy the records. It was this feature of the program with which Mr. Kantor was especially unhappy. He also hoped that the archivists might be placed on the routing list to receive disposition schedules as they were published.[7]

The second publication in the series of Records Management Handbooks entitled Disposition Schedule, was issued in loose-leaf form, effective 1 July 1956. New disposition schedules may be easily added and revisions are probably treated in the same way. The schedule should be current at all times. The Archives and the University Librarians are named custodians for materials having reference, historical or research value. The handbook consists of an index and the schedule itself, in addition to a few prefatory pages.

There are to be future numbers issued in the Records Management Handbooks series. One, the Vital Records Protection Handbook, exists in draft form, but I have not yet determined that it has been published.[8]

A great deal has been written about the need for the participation of the archivist in any management program. The records

managers and archivists do not stand alone and separate, but should work closely together when they are in fact not the same officer. Recommendations for records management programs emphasize that broad authority should be given to the archivist for the utilization of his particular talents relating to records appraisal and records retrieval at the agency level. Initially, the University of California program ignored the archivist in all of these. The program has since been somewhat amended; Mrs. Kantor has stated that the relation between Records Management Officer and the Archives at Berkeley has been satisfactory for some time and "rapport" is very good.[9]

The establishment of the Federal Records Management program was closely related to the Federal Archives and the archivist. Similarly many states have laws recognizing the relationship between archivist and soon-to-be-archives while these are yet documents in an agency's files. In 1949 Edmund Leahy described the three-way character of records management, paraphrased as follows:[10]

1. Engineers to control the paper;
2. Archivists to appraise, select records and to plan, equip and administer the records storage facility;
3. Historian to identify, organize, and interpret the records.

Posner sees the appraisal of records as the archivist's primary management function, and he emphasizes also contributions which help to ensure complete documentation of an agency's function and history.[11]

James Kantor has underscored the receiving function of the archivist.[12] An active records management program results in

RECORDS MANAGEMENT AND ARCHIVES,

an expanded archival program. We may note again that Archives were authorized on all University of California campuses within one year following the beginning of the inventory of fiscal and administrative records. The responsibility for the preservation of documents will continue to grow, and with it will also increase the interest in the special capabilities and prerequisites of the University archivist.

REFERENCES.

1. Mood, Fulmer and Carstensen, Vernon, "University records and their relation to general university administration," College and Research Libraries, v.11 (Oct. 1950) p.341.

2. California. University. Records Management Committee. Records Disposition. (n.p., 1963) p.4.

3. First Statewide Conference of the University Archivists of the University of California, Berkeley. Proceedings, 12-13 April 1965. (mimeo) p.6.

4. Ibid., p.3.

5. Ibid., p.3.

6. Vesey, Laurence R., "A scholar's view of University Archives". In Stevens, University Archives (Illinois, 1965) p.85, 87.

7. First Statewide Conference of the University Archivists, Op.Cit., p.9.

8. Correspondence relating to this and other publications has not had a reply.

9. Kantor, James R. K., Letter, 20 October 1969.

10. Leahy, Edmund, "Modern records management," American Archivist, v.12 (july 1949) p.239.

11. Posner, Ernst, American State Archives. (Chicago, 1964) p.365.

12. Kantor, James R. K., "Suggestions for the establishment of a college or university archives" (Unpublished draft: 27 September 1969) p.2.
(Compiled for the Society of American Archivists, College and University Archives Committee)

BIBLIOGRAPHY.

1. Brooks, Philip C., "The archivists concern in records administration," American Archivist, v.6, (July 1943) p.158-164.

2. California. University. Records Management Committee. Disposition Schedule, (n.p.) University of California, 1965. (Its records management handbook, no.2)

3. California. University. Records Management Committee. Records Disposition, (n.p.) University of California, 1963. (Its Records management handbook, no.1)

4. California. University. Records Management Committee. Vital Records Protection Handbook. (Unofficial draft 10/20/65) Unpublished.

5. Evans, Frank B., "Archivists and records managers: variations on a theme," American Archivist, v.30 (June 1967) p.45-58.

6. First Statewide Conference of the University Archivists of the University of California, Berkeley. Proceedings, 12-13 April 1965. (Mimeo) 1965.

7. Jennings, John Melville, "Archival activity in American universities and colleges," American Archivist, v.12, p.155-163.

8. Kantor, James R. K., Personal letter, 20 October 1969.

9. Leahy, Emmett J., "Modern records management," American Archivist, v.12, (July 1949) p.231-242.

10. McCool, Ollon D., "The metes and bounds of records management," American Archivist, v.27, (Jan. 1964) p.87-93.

11. Mood, Fulmer and Carstensen, Vernon, "University records and their relation to general university administration," College and Research Libraries, v.11 (Oct. 1950) p.337-345.

12. Posner, Ernst, American State Archives. Chicago, University of Chicago Press, 1964.

13. Stevens, Rolland, ed., University Archives. Champaign, distr. by Illini Bookstore, Published by Board of Trustees of the University of Illinois, 1965.